

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

		Application No.	10/766,618
		Filing Date	January 27, 2004
		First Named Inventor	Yoshihide Senzaki
		Examiner Name	To Be Assigned
		Group Art Unit	2811
Total Number of Pages in This Submission	19	Attorney Docket No.	A-70028-1/MSS/TJH (463035-936)

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached – check for \$1,150.00 <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s)	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawing(s) (Figs. 1-5) and Cover Sheet to Draftsperson <input type="checkbox"/> Licensing-related Papers <input checked="" type="checkbox"/> Petition for Extension of Time – Three Months (1 pg.) <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Executed Power of Attorney (1 pg.) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, No. of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Executed Declaration for Patent Application (2 pgs.), copy of Notice to File Missing Parts mailed June 21, 2004 (2 pgs.), check no. 6939 in the amount of \$1150.00, and self-addressed stamped Postcard.
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.53(b) (2 pgs.)		
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Maria S. Swiatek, Esq., Reg. No. 37,244 DORSEY & WHITNEY LLP 4 Embarcadero Center, Suite 3400 San Francisco, CA 94111 Telephone: 650-494-8700 Facsimile: 650-494-8771	Customer Number 32940
Signature		
Date	November 22, 2004	

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:

Typed or printed name	Kari Bateman		
Signature		Date	November 22, 2004

**APPLICATION
FEE TRANSMITTAL SHEET
(FY 2004)**



Complete if Known	
Application No.	10/766,618
Filing Date	January 27, 2004
First Named Inventor	Yoshihide Senzaki
Group Art Unit	2811
Examiner Name	To Be Assigned
Atty. Docket Number	A-70028-1/MSS/TJH (463035-936)

METHOD OF PAYMENT (Check One)			FEE CALCULATION (Continued)		
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account No.: <u>50-2319</u> Deposit Account Name: <u>DORSEY & WHITNEY LLP</u>			3. ADDITIONAL FEES		
<input checked="" type="checkbox"/> Charge any additional fee required under 37 C.F.R. 1.16 and 1.17 to: Deposit Account No.: <u>50-2319</u> Deposit Account Name: <u>DORSEY & WHITNEY LLP</u>			Large Entity Fee	Small Entity Fee	Fee Description
<input checked="" type="checkbox"/> Applicant claims small entity status (see 37 C.F.R. 1.27)			50	25	Surcharge - late provisional filing fee or cover sheet
2. <input checked="" type="checkbox"/> Check Enclosed in the amount of <u>\$320.00</u>			130	65	Surcharge – Late non-provisional filing fee or oath
			180	180	Submission of IDS
			40	40	Recording each patent assignment per property (times number of properties)
					\$40.00
FEE CALCULATION					
1. BASIC FILING FEE					
Large Entity Fee	Small Entity Fee	Fee Description			
160	80	<input type="checkbox"/> Provisional Filing Fee			
790	395	<input type="checkbox"/> Utility Filing Fee			
350	175	<input type="checkbox"/> Design Filing Fee			
790	395	<input type="checkbox"/> Reissue Filing Fee			
Subtotal (1)					
2. EXTRA* CLAIM FEES					
Number Claims	Prior	Extra	Fee from Below*	Fee Paid	
Total	-	20	=	x \$18.00	= \$
Indep.	-	3	=	x \$88.00	= \$
Multiple Dependent Claims = _____ x \$300.00 = \$					
Subtotal (2)					
*Calculation of Extra Claim Fees					
Large Entity Fee	Small Entity Fee	Fee Description			
18	9	Claims in excess of 20			
88	44	Independent claims in excess of 3			
300	150	Multiple dependent Claim			
88	44	Reissue independent claims over original patent			
18	9	Reissue claims in excess of 20 and over original patent			
OTHER FEE (specify):					
Subtotal (3) \$1,150.00					
Total Amount of Payment: \$1,105.00					

Submitted by:

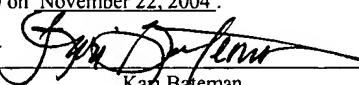
Name: Maria S. Swiatek, Reg. No. 37,244		Telephone: (650) 494-8700
DORSEY & WHITNEY LLP	Four Embarcadero Center, Suite 3400 San Francisco, California 94111-4187	Customer Number 32940
Signature:		Date: November 22, 2004



PATENT

Attorney Docket No. A-70028-1/MSS/TJH (463035-936)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Yoshihide Senzaki Serial No.: 10/766,618 Filing Date: January 27, 2004 For: <i>Multilayer High K Dielectric Films and Method of Making the Same</i>	Examiner: To Be Assigned Art Unit: 2811 CERTIFICATE OF MAILING I hereby certify that this correspondence and its listed enclosures is being deposited with sufficient postage with the United States Postal Service as First Class Mail addressed to Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on November 22, 2004. Signed  Kari Bateman
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**RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION
FILED UNDER 37 C.F.R. 1.53(b)**

Mail Stop Missing Parts
Commissioner for Patents
P. O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application, Filed Under 37 C.F.R. 1.53(b), mailed June 21, 2004, enclosed are the following documents:

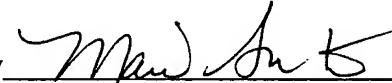
- 1) Transmittal (1 pg.);
- 2) Fee Transmittal (1 pg.);
- 3) Copy of Notice to File Missing Parts mailed June 21, 2004 (2 pgs.);
- 4) Petition for Extension of Time – Three Months (1 pg.);
- 5) Check No. 6939 for \$1,150.00: \$130.00 late declaration surcharge, \$40.00 for recordation fee, and petition for three-months extension of time (\$980.00);
- 6) Executed Declaration for Patent Application (37 C.F.R. § 1.63), (2 pgs.);
- 7) Executed Power of Attorney by Assignee and Exclusion of Inventor/s under 37 C.F.R. § 1.32 and Statement under 37 C.F.R. § 3.73(b), (1 pg.);
- 8) Recordation Cover Sheet and executed Assignment (4 pgs.);
- 9) Letter to Draftsperson and 4 Sheets of Formal Drawings consisting of Figs. 1-5; &
- 10) Return Postcard.

Serial No.: 10/766,618
Filing Date: January 27, 2004

The Commissioner is hereby authorized to charge any additional fees, including extension fees, to Deposit Account 50-2319 [Order No. A-70028-1/MSS/TJH (463035-936)].

Respectfully submitted,

DORSEY & WHITNEY LLP

By 
Maria S. Swiatek, Reg. No. 37,244
Attorney for Applicants

Customer No.: **32940**
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Tel.: (650) 494-8700
Fax: (650) 494-8771

PA-1079995



PATENT
Docket No.: A-70028-1/MSS/TJH (463035-936)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Yoshihide Senzaki

Serial No: 10/766,618

Filed: **January 27, 2004**

Title: ***Multilayer High K Dielectric Films
and Method of Making the Same***

Examiner: **Unassigned**

Art Unit No: **2811**

San Francisco, CA 94111

Date: **October 20 2004**

SUBMISSION OF FORMAL DRAWINGS

Commissioner for Patents
Attention: Official Draftsperson
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Enclosed herewith are four (4) sheets of formal drawings consisting of Figs. 1-5 for the above-identified patent application.

The Commissioner is authorized to charge any underpayment of fees or credit any overpayment to counsel's Deposit Account No. 50-2319 (A-70028-1/MSS (463035-936)).

Respectfully submitted,

Date: November 22, 2004

By: Maria S. Swiatek
Maria S. Swiatek
Reg. No. 37,244

Customer No.: **32940**
DORSEY & WHITNEY LLP
Four Embarcadero Center, Suite 3400
San Francisco, CA 94111-4187
Telephone: (650) 494-8700
Facsimile: (650) 494-8771



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
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 Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/766,618	01/27/2004	Yoshihide Senzaki	A-70028-1/MSS/TJH

32940
 DORSEY & WHITNEY LLP
 INTELLECTUAL PROPERTY DEPARTMENT
 4 EMBARCADERO CENTER
 SUITE 3400
 SAN FRANCISCO, CA 94111



CONFIRMATION NO. 3758

FORMALITIES LETTER



OC000000012997870

Date Mailed: 06/21/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
 - The drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1); See Figure(s) 5.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$65** for a Small Entity

11/29/2004 ZJUHAR1 00000043 10766618

02 FC:1051

130.00 DP

11/29/2004 ZJUHAR1 00000043 10766618
 01FC:1253
 980.00 DP

- \$65 Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE